

Southern California Association of Governments FY 2004-2005 and FY 2005-2006 Caltrans Transportation Planning Grants

Caltrans recently announced the application cycle for Transportation Planning Grants for the following programs:

- *FY 2005-2006 Federal Highway Administration (FHWA) Partnership Planning
- *FY 2005-2006 Federal Transit Administration (FTA) Section 5313b Transit Planning
- **FY 2004-2005 & 2005-2006 Environmental Justice
- ***FY 2004-2005 & 2005-2006 Community-Based Transportation Planning

***Applications for these grants must be submitted by SCAG as the applicant to Caltrans, with local agencies as sub-recipients.**

****Applications for these grants can be submitted directly to Caltrans by Cities, Counties, Transit districts & Native American Tribal Governments as APPLICANTS-all others must submit through an agency listed as applicant in the Caltrans Transportation Planning Grant Summary Chart-Attachment 1.**

***** Applications for these grants can be submitted directly to Caltrans by Cities, Counties, Transit Agencies, Public Entities as APPLICANTS-all others must submit through an agency listed as applicant in the Caltrans Transportation Planning Grant Summary Chart-Attachment 1.**

The attached Transportation Planning Grant Summary Chart provides additional detail regarding grant purpose, eligibility and local match requirements. Complete grant application and instructions are available on the Caltrans website, along with additional training session information: <http://www.dot.ca.gov/hq/tpp/grant.htm>.

Outlined below are the requirements for submittal to SCAG, which are in addition to the Caltrans application requirements:

- **By September 6, 2004**, submit applications to Susan Youngs at SCAG:
Susan Youngs
Southern California Association of Governments
818 W. 7th St, 12th Floor
Los Angeles, CA 90017-3435
Phone (213) 236-1833
Email youngs@scag.ca.gov

Southern California Association of Governments FY 2004-2005 and FY 2005-2006 Caltrans Transportation Planning Grants

For Projects that must be submitted by SCAG as the APPLICANT

- The project scope and budget must include a task and funding for **SCAG project management and administrative costs equal to 10%** of the amount of grant funds requested. See Exhibit 1 for the sample Scope description and budget page that includes this task.
- Match must be provided and funded with local funds (non-federal). The type of match (cash or in-kind) must be clearly indicated in the grant application cover page, scope of work and budget page, along with the specific agency providing the match, and the specific type of local funding.
- Complete, but do not sign the cover page – SCAG as the applicant will sign the cover page.
- All applications submitted to SCAG must include a letter of commitment signed by a representative of the co-applicant agency who is authorized to commit funds. (See Exhibit 2 for a sample letter of commitment.)
- Projects must be consistent with the SCAG Regional Transportation Plan (RTP), and the 7 Planning Factors and 5 Planning Emphasis Areas with which SCAG must comply, as a Metropolitan Planning Organization (MPO). (See the SCAG Overall Work Program (OWP) and RTP available on the SCAG website www.scag.ca.gov)
- Submitted applications must also include a project description for inclusion in the SCAG OWP. (See Exhibit 3 for a sample OWP project description.)
- Once a project is awarded, a Memorandum of Understanding (MOU) must be signed between SCAG and the co-applicant to formalize the roles and responsibilities of each party, such as the provision of hard and/or in-kind match, documentation of scope of work and budget for agency receiving grant funds, in-kind match scope of work and budget documentation and reporting, project management activities, etc.
- Once a project is awarded by Caltrans, SCAG will be conducting the procurement/contracting process necessary to obtain consultant services, formalize services to be provided by the co-applicant, or to purchase other goods or services.
- Projects must be new, stand-alone projects that follow the above referenced procurement process.
- Once a project is awarded, specific formats are required to invoice SCAG and to report match financial and in-kind activity. (See Exhibit 4-Sample Invoice and Exhibit 5-In-Kind Match Reporting Requirements and Exhibit 6-Sample In-Kind Match Financial Report.)
- Once a project is awarded, project progress must be reported to SCAG utilizing the SCAG Quarterly Progress Reporting (QPR) format. (See Exhibit 7 for the QPR format.)

For Projects submitted by another agency as the APPLICANT

- Submitted applications must also include a project description for inclusion in the SCAG OWP. (See Exhibit 3 for a sample OWP project description.)

Please contact Susan Youngs at (213) 236-1833 if you have questions. Thank you for your cooperation.

Transportation Planning Grant Summary Chart

GRANT	FUND SOURCE	PURPOSE	ELIGIBILITY	LOCAL MATCH
Environmental Justice: Context-Sensitive Planning	State Highway Account Budget: \$1.5 million Grant Cap: \$250,000	Fund projects that promote public participation in planning to improve mobility, access, equity, affordable housing, and economic opportunities for low-income, minority and Native American communities.	<u>RTPAs/MPOs /Cities /Counties/Transit Districts & Native American Tribal Governments as applicants or sub-recipients.</u> The following may submit proposals only as sub-recipients: • Universities • Non-Profit Organizations • Community Based Organizations • Local transportation commissions • Port authorities • Airport commissions, and similar entities.	A local contribution equal to 10% of the grant request (non state and non federal funds), of which half may be in-kind, is required.
Community-Based Transportation Planning	State Highway Account Budget: \$1.5 million Grant Cap: \$250,000	Fund transportation and land use planning that promote public participation and support livable community concepts.	<u>RTPAs/MPOs/Cities/Counties/Transit Agencies, Public Entities as applicants or sub-recipients.</u> The following may submit proposals only as sub-recipients: • Universities • Native American Tribal Governments • Non-Profit Organizations • Community Based Organizations • Private sector entities	A local contribution equal to 20% of the grant request (non state and non federal funds). Up to 10% of the match can be in-kind.

* Community-Based Organization (CBO) is a non-governmental entity organized for members to work together on a community-based issue, needs, or problems; can be or become a non-profit corporation (501.C.3) to receive funding from various sources.

Transportation Planning Grant Summary Chart

GRANT	FUND SOURCE	PURPOSE	ELIGIBILITY	LOCAL MATCH
Partnership Planning	FHWA State Planning and Research Budget: Federal funds \$1,000,000 Grant Cap: \$300,000	Fund transportation planning studies of multi-regional and statewide significance, strengthen the economy, promote equity, protect the environment, and promote public health and safety in the state.	<u>MPOs/RTPAs as applicants.</u> Projects are to be performed jointly with Caltrans staff. The following may submit proposals only as sub-recipients: Native American Tribal Governments/cities/counties/CBOs/and public entities.	20% non-Federal funds or In-kind contribution. Additional non-Federal participation desired.
Statewide Transit Planning Studies	FTA Section 5313(b) Budget: Federal funds \$1,000,000 Grant Cap: \$300,000	Fund studies on transit issues having statewide or multi-regional significance to assist in reducing urban transportation needs, improving transit service, strengthen the economy, promote equity and protecting the environment.	<u>MPOs/RTPAs as applicants.</u> The following may submit proposals only as sub-recipients: Native American Tribal Governments/cities/counties/CBOs/and public entities.	11.47% non-Federal funds or In-kind contribution.
Transit Technical Planning Assistance	FTA Section 5313(b) Budget: Federal funds \$600,000 Grant Cap: \$80,000	Fund public and intermodal transportation planning studies in rural transit areas of California (transit service area of 50,000 or less).	<u>MPOs/RTPAs as applicants.</u> The following may submit proposals only as sub-recipients: Native American Tribal Governments/cities/counties/CBOs/and public entities.	11.47% non-Federal funds or In-kind contribution.
Transit Professionals Development	FTA Section 5313(b) Budget: Federal funds \$400,000 Grant Cap: \$50,000	Fund training and development of transit planning professionals and students.	<u>MPOs/RTPAs as applicants.</u> The following may only submit proposals as sub-recipients: Native American Tribal Governments/cities/counties/CBOs/and public entities.	11.47% non-Federal funds or In-kind contribution.

*Community-Based Organization (CBO) is a non-governmental entity organized for members to work together on community-based issues, needs or problems; can be or become a non-profit corporation (501.C.3) to receive funding from various sources.

Sample SCAG Task Description

Project Management and Administration

Oversee project implementation and monitor progress; include and maintain project in SCAG OWP; conduct procurement of consultant or other project services; validate/monitor project budget and ensure compliance with grant requirements, including match requirements; prepare and monitor any necessary legal agreements; review all project invoices to ensure compliance with grant program and fiscal requirements; process all valid invoices; invoice Caltrans for reimbursement of grant funds; perform all required progress.

Exhibit 1

Project Title: Rural Tribal Transit Needs Study to Develop a Tribal Transportation Plan

[illegible]

Exhibit 2

_____, 2004

Southern California
Association of Governments
818 West Seventh Street, 12th Floor
Los Angeles, CA 90017-3435

Attn: Charles J. Wagner

RE: (name of Transportation Planning Grant project), Match Commitment

Dear Mr. Wagner:

The (agency name) agrees to provide local, (cash and/or in-kind) match to (name of Transportation Planning Grant project). This project is funded by a (name of grant) grant, competitively awarded by Caltrans, and requires cash and/or in-kind match. As a result of the grant and in reliance upon (agency's) commitments as outlined in this letter, SCAG intends to conduct this project according to the Scope of Work detailed in the approved grant application. Any consultant services included in the approved grant Scope shall be selected through SCAG's competitive contracting process.

This letter serves as (agency's) commitment to provide \$XX,XXX of cash and/or \$XX,XXX in-kind staff services for the project as outlined in the attached Scope of Work and Line Item Budget (attached as Exhibits A and B, respectively).

(agency name) agrees to adhere to SCAG's In-Kind Match requirements (attached as Exhibit C), and/or provide cash match, and understands that SCAG shall not pay consultant or other invoices for this Project until such time that SCAG receives the In-Kind Match Reports(and/or cash match).

If you have any questions, please contact me at _____.

Sincerely,

(Agency representative authorized to commit funds)

05-XXX

Project Name

Total Project Budget \$	
Grant \$\$	\$
Cash Match \$\$	\$
In-Kind Match \$\$	\$

Manager: leave blank

Program Objectives: Detail what the project objective is.

Program Accomplishments: In detail, list any previous accomplishments that led to this project being undertaken.

For Consultant Work Only

05-XXX.XXXCX Project Name

Manager: leave blank

Consultant: leave blank

Contract Number: leave blank

Contract Amount: leave blank

Steps(Tasks):

1. List Steps (list beginning and end date for each step Month Year – Month Year)

Products:

- Deliverable Products (Month Year) (PEA; PF)

Planning Emphasis Area Addressed (PEA):

Planning Factor Addressed (PF):

Total Consultant Budget \$	\$ _____
Grant \$\$	\$ _____
Cash Match \$\$	\$ _____
In-Kind Match \$\$	\$ _____

For City/Agency Staff Work Only

05-XXX.XXXXX **Project Name**

Manager: leave blank

Total Staff Budget	\$ _____
Grant \$\$	\$ _____
Cash Match \$\$	\$ _____
In-Kind Match \$\$	\$ _____

Previous Accomplishments: Briefly list any previous accomplishments for this project.

Steps(Tasks):

1. List Steps (list beginning and end date for each step Month Year – Month Year)

Products:

- Deliverable Products (Month Year) (PEA; PF)

Planning Emphasis Area Addressed (PEA):

Planning Factor Addressed (PF):

Invoice for staff workAgency: ***Your Agency's Name***

For the Period:

Starting Date: ***1/1/04***Ending Date: ***3/31/04***Project: ***Project Name***

Name	Hours	Hourly Rate (1)	Cost	Fringe Benefit	Salary & Fringe	Indirect Cost (2)	Total Cost
				<i>0.2257</i>	Rate:	<i>0.9752</i>	
Bill Jones	57.00	15.25	869.25	196.19	1,065.44	1,039.02	2,104.46
Sally Swanson	22.50	57.23	1,287.68	290.63	1,578.30	1,539.16	3,117.46
	Total		2,156.93	486.82	2,643.74	2,578.18	5,221.92

Less: Local Match ***0.1147*** (598.95)Total Due: **\$ 4,622.97**

Notes: (1) Hourly rate actually paid to individual

(2) Indirect Costs approved consistent with SCAG policy and with an
Indirect Cost rate approved by a cognizant agency.

I hereby certify that:

All the above individuals are employees of the agency.

That all hours charges and rates are supported by timesheets and source documents

Name_____
Date_____
Title

Exhibit C

SCAG IN-KIND MATCH REQUIREMENTS

- A. Within ten (10) business days after receiving a copy of SCAG's Consultant Invoice (Invoice), the local agency providing in-kind match under this Match Commitment shall submit In-Kind Match Reports to SCAG. Such Invoices are provided for information purposes only. SCAG retains final approval authority of Invoices and In-Kind Match Reports. SCAG shall not be obligated to pay Invoices until the applicable In-Kind Match Reports are received by SCAG.
- B. WBS Number 04-255.SCGC1 shall be used for the In-Kind Match Reports provided for the Project from date of the Match Commitment Letter through June 30, 2004. WBS Number 05-255.SCGC1 shall be used for the In-Kind Match Reports from July 1, 2004 through June 30, 2005, subject to approval of the Project in the SCAG Fiscal Year 2004-2005 Overall Work Program (OWP). In the event the Project is not approved in the SCAG FY 2004-05 OWP, this Match Commitment shall terminate effective June 30, 2004.
- C. The In-Kind Match Reports shall include the following:
- (1) Name of the local public agency providing the match;
 - (2) Name of the public agency employee performing in-kind services;
 - (3) Employee hourly rates, including fringe benefits;
 - (4) Number of hours;
 - (5) Total costs for each employee;
 - (6) Reporting period;
 - (7) Description of services performed; and,
 - (8) Authorized signature of the local agency providing the match including Certification that costs were funded with non-federal, local funds.
- D. Upon request, the agency shall provide SCAG additional information or documentation to support the costs contained in the Match Report or related match documentation. The agency shall additionally maintain and make available upon request, copies of the Match Reports and supporting documentation for at least three years from the date that final payment of federal funds are made on the Project.
- E. The agency shall further submit a Quarterly Progress Report to SCAG, no later than ten (10) days after the close of each quarter (i.e., for the first quarter, ending September 30, the deadline is October 10), describing progress toward completion of all tasks, projects, and products, conformance with project schedules, and reporting of all costs incurred for the work elements contained in Exhibit B.
- In the submittal of Quarterly Progress Reports, the agency shall include seven, double-sided copies of all completed products to the assigned SCAG Project Manager, in a form determined by the SCAG Project Manager.
- F. The agency further agrees to comply with the following:
- (1) The Contract Cost Principles and Procedures, 48 Code of Federal Regulations, Federal Acquisition Regulations System, Chapter 1, Part 31, et seq. (Office of Management and Budget Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments)," shall be used to determine the allowability of individual project cost items, and
 - (2) The Federal administrative procedures in accordance with 49 Code of Federal Regulations, Part 18, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments."

Reporting Period:
_____ through _____

Employee Name/Title	Hourly Rate*	No. of Hours	Total Cost
John Doe, Project Manager	50.00	100	\$ 5,000.00
Mary Black, Associate Project Manager	40.00	50	\$ 2,000.00
Lisa Montgomery, Assistant Planner	30.00	60	\$ 1,800.00
Takashi Yamaguchi, Planning Aide	20.00	70	\$ 1,400.00
* The hourly rate is burden by Fringe Benefit.			
TOTAL CURRENT EXPENDITURE			\$ 10,200.00

This is to certify The Agency's name
has on record documentation supporting the work listed
above, and they are funded by non-federal funders.

Signature

Name

Title

Date _____

Southern California Association of Governments
Quarterly Progress Report
Explanation of the Report

Introduction

The Quarterly Overall Work Program (OWP) Progress Report provides a review of the planned tasks, accomplishments, issues encountered, potential need for amendments, upcoming work planned for the subsequent quarter, annual budget and expenditures for the quarter and the fiscal year. The Report is organized on a work element basis and it includes a work element summary report and individual reports for each SCAG consultant and subregional project. The individual columns in the report are described in more detail below.

Column 1 Provides the basic reporting structure for each OWP work element, i.e., SCAG **manager/project manager** and subregional **coordinator** responsible for the project, **statistical information**, a brief **contract description**, the name of the **vendor** contracted with, work **planned** for the quarter, work **accomplished** in the quarter, work **accomplished previous quarter(s)**; work **planned next quarter**, **issues** encountered, **issue resolution**, any proposed **amendment**, **final products** and **other funding source** description.

Column 2 Indicates the OWP work element number for each project and the task number for each consultant and subregional task.

Column 3 Provides the work element and task titles and the vendor (consultant and subregion) name as listed in the OWP.

Column 4 Indicates the project manager's estimated percentage of the work planned for the fiscal year that has been completed for each SCAG, SCAG consultant and subregional project.

Column 5 Lists the project completion date as listed in the currently approved OWP.

Column 6 Indicates if the work element, individual SCAG consultant contract and subregional project is on or off schedule from the schedule in the OWP or if the work has been completed.

Column 7 Indicates when the work element, individual SCAG consultant contract and subregional project is expected to be completed.

Column 8 Lists the SCAG contract number for subregional and consultant work.

Column 9 Lists the original start date for the contract.

Column 10 Lists the end date as listed in the contract at the end of the quarter.

Exhibit 7

Column 11 Provides the total contract budget for the life of each consultant and subregional consultant contract including the budget from prior and future years. Subregional staff contract list the amount in the current CCA by WBS.

Column 12 Provides the total previous year(s) cash expenditures for any subregional consultant and SCAG Consultant continuing work.

Column 13 Provides the costs reported and recorded in the SCAG accounting system for the fiscal year as of the end of the quarter.

Column 14 Provides the total funds expended in the quarter for SCAG, individual SCAG consultant and subregional projects as recorded in the SCAG accounting system, as of the end of the quarter.

Column 15 Indicates the Fiscal Year 2003-2004 OWP budget for each work element and each task.

Columns 16-23 Provides the budget by fund source and line item per the approved OWP.

SCAG FY03-04 Overall Work Program Quarterly Progress Report

SAMPLE TEMPLATE

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23
	WE#	Project Description Vendor's Name	% of Work Completed	OWP Completion Date	Schedule ON/OFF Completed	Expected Completion Date	Contract Number	Contract Starting Date	Contract Ending Date	Total Contract Amount	Previous Expenditures	FYTD Expenditures	Total Funds Expended This Quarter	03-04 OWP Budget Amount	FHWA 03-04	FTA 5303	5313 (b)	SP&R	TDA	Cash	Inkind/ Services	OTHER FUNDING*
System Planning																						
OWP Page 10 → 04-016		System Planning																				
OWP Page 12 → 04-010.SCGS1		System Planning																				
Manager(s)/Project Manager(s) →		Macias/Amalya		06/30/04		06/30/04																
Statistical Information →		Steps																				
Planned →		Completed: Steps; Continuing: Steps																				
Accomplished →		2nd Quarter - Completed: Steps 14, 15, 16, 17, 18, 19; Continuing: Steps 1, 2, 3, 4, 5, 6, 7, 8, 9, 20, 21, 22																				
Accomplished Previous Quarter(s) →		Steps																				
Planned Next Quarter →																						
Proposed Amendment →																						
Issue(s) →																						
Issue Resolution →																						
OWP Products →		Draft RTP (December 2003-Submitted 2nd Quarter); Responses to comments to Draft 2004 RTP (February 2004); Final 2004 RTP (April 2004); RTP Implementation Strategy (June 2004)																				
SCAG Staff Total:														3,203,043	2,836,853					367,390		
RTP Support																						
OWP Page 15 → 04-010.SCGC1		RTP Support																				
Manager(s)/Project Manager(s) →		Macias/Amalya		06/30/04		06/30/04	02-042	04/23/02	06/30/04	749,992				350,000	309,855				40,145			
Statistical Information →		Project Mgmt. & Technical Support Services for RTP Implementation and Update																				
Contract Description →		System Metrics																				
Vendor →		Steps																				
Planned →		Completed: Steps; Continuing: Steps																				
Accomplished →		2nd quarter - Completed: Step 3; Continuing: Step 1, 5																				
Accomplished Previous Quarter(s) →		Steps																				
Planned Next Quarter →																						
Proposed Amendment →																						
Issue(s) →																						
Issue Resolution →																						
OWP Products →		2004 RTP Implementation Strategy (June 2004); Documentation of public comments and responses (June 2004)																				
OWP Page 17 → 04-010.SCGC3		Transportation Finance																				
Manager(s)/Project Manager(s) →		Macias/Niam		06/30/04		06/30/04	04-003	10/14/03	10/14/05	100,000				100,000	88,530				11,470			
Statistical Information →		Transportation Finance																				
Contract Description →		Arthur Bauer & Associates																				
Vendor →		Steps																				
Planned →		Completed: Steps; Continuing: Steps																				
Accomplished →		2nd quarter - Completed: Steps 1, 2; Continuing: Steps 3																				
Accomplished Previous Quarter(s) →		Steps																				
Planned Next Quarter →																						
Proposed Amendment →																						
Issue(s) →																						
Issue Resolution →																						
OWP Products →		Technical paper on Transportation Revenue Forecast (December 2003-Submitted 2nd Quarter); Draft and Final 2004 RTP Financial Plan (Draft September 2003, Final June 2004); Completion of Final Action Plan for release of 2004 RTP (June 2004)																				
OWP Page 18 → 04-010.SCGC4		HOV Completion																				
Manager(s)/Project Manager(s) →		Macias/Bowser		06/30/04		06/30/04	01-157	11/27/01	06/30/04	400,000				108,000	95,611				12,389			
Statistical Information →		Regional HOV System Performance Study																				
Contract Description →		Systan, Inc.																				
Vendor →		Steps																				
Planned →		Completed: Step 3; Continuing: Steps 4																				
Accomplished →		2nd Quarter - Completed: Step 2; Continuing: Steps 3																				
Accomplished Previous Quarter(s) →		Steps																				
Planned Next Quarter →																						
Proposed Amendment →																						
Issue(s) →																						
Issue Resolution →																						
OWP Products →		HOV Study (March 2004-Submitted 2nd Quarter)																				
OWP Page 20 → 04-010.SCGC5		Rail Funding																				
Manager(s)/Project Manager(s) →		Macias/Griffin		06/30/04		06/30/04	04-010	TBD	TBD	50,000				120,000	106,236				13,764			
Statistical Information →		Inland Empire Rail Study																				
Contract Description →		Lachman Associates																				
Vendor →		Steps																				
Planned →		Completed: Steps; Continuing: Steps																				
Accomplished →		2nd quarter - None, contract awarded																				
Accomplished Previous Quarter(s) →		Steps																				
Planned Next Quarter →																						
Proposed Amendment →																						
Issue(s) →																						
Issue Resolution →																						
OWP Products →		Presentation, Meeting Documentation, Financial Analysis Report (June 2004)																				
OWP Page 22 → 04-010.SCGC8		Subregional Liaison																				
Manager(s)/Project Manager(s) →		Rhodes/Collier		100%	06/30/04	Completed	12/30/03	01-050	04/26/01	12/30/03	123,750			22,500	19,919				2,581			
Statistical Information →		Subregional Liaison Services																				
Contract Description →		Ed Jones																				
Vendor →		Steps																				
Planned →		Completed: Steps; Continuing: Steps																				
Accomplished →		2nd quarter - Continuing: Steps 1, 2, 3																				
Accomplished Previous Quarter(s) →		Steps																				
Planned Next Quarter →																						
Proposed Amendment →																						
Issue(s) →																						
Issue Resolution →																						
OWP Products →		Report on efforts taken to retain member agencies (December 2003-Submitted 2nd Quarter); Report on efforts taken to ensure active participation of member agencies (December 2003-Submitted 2nd Quarter); Report on efforts taken to identify perspective membe																				
		(December 2003-Submitted 2nd Quarter); A summary of all monthly progress reports and invoices (December 2003-Submitted 2nd Quarter)																				